

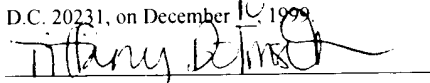
Receipt
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PATENT

Docket No. 226272002201

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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Assistant Commissioner for Patents, Washington, D.C. 20231, on December 10, 1999.


Tiffany Dolmseth

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Leaf HUANG et al.

Serial No.: 09/376,395

Filing Date: August 18, 1999

For: STABLE LIPID-COMPRISING DRUG
DELIVERY COMPLEXES AND
METHODS FOR THEIR PRODUCTION

Examiner: Not Yet Assigned

Group Art Unit: 1643

TRANSMITTAL

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Dear Sir:

Enclosed please find the following:

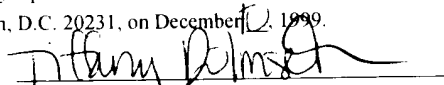
1. Request for a Corrected Filing Receipt (2 pages).
2. Copy of marked up Filing Receipt (1 page).
3. Copy of first page of the Utility Patent Application Transmittal (1 page).
4. Return Receipt Postcard.



PATENT
Docket No. 226272002201

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

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Tiffany Dolmseth

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Leaf HUANG et al.

Serial No.: 09/376,395

Filing Date: August 18, 1999

For: STABLE LIPID-COMPRISING DRUG
DELIVERY COMPLEXES AND
METHODS FOR THEIR PRODUCTION

Examiner: Not Yet Assigned

Group Art Unit: 1643

REQUEST FOR A CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

Dear Sir:

Please furnish the undersigned with a corrected Filing Receipt for the above-identified application. The corrections needed are as follows:

1. Above Morrison & Foerster, please insert --Madeline I. Johnston--.
2. Under Continuing Data As Claimed By Applicant, "This appln is a [CIP] CON of 08/939,874 09/29/97".

A copy of the marked-up Filing Receipt is attached.

This application was filed on August 18, 1999. The "Utility Patent Application Transmittal" (first page, copy attached) correctly listed the continuing application information.

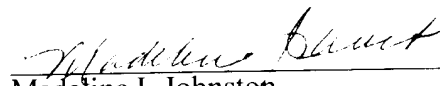
pa-435807

In the unlikely event that the transmittal letter is separated from this request and the Patent Office determines that a fee is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to Deposit Account No. 03-1952. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: December 9, 1999

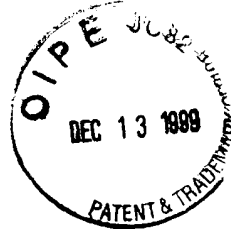
By:



Madeline I. Johnston
Registration No. 36,174

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792

In the unlikely event that the Patent Office determines that an additional fee is required, Applicants petition for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952 referencing 226272002201**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.



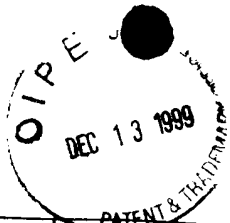
Respectfully submitted,

Dated: December 9 1999

By: Madeline I. Johnston
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FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
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Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/376,395	08/18/99	1643	\$1,201.00	226272002201	27	45	6

Madeline I. Johnston
MORRISON & FOERSTER LLP
755 PAGE MILL ROAD
PALO ALTO CA 94304-1018

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NOV 29 1999

MORRISON & FOERSTER, LLP

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) LEAF HUANG, WEXFORD, PA; XIANG GAO, NASHVILLE, TN;
FRANK L. SORGI, SONOMA, CA; RALPH WILFRED PAUL, SEATTLE,
WA; DAVID L. SLOANE, BAINBRIDGE ISLAND, WA; AARON GARTH
LOOMIS, SEATTLE, WA.

CONTINUING DATA AS CLAIMED BY APPLICANT-

Com THIS APPLN IS A CIP OF 08/939,874 09/29/97
WHICH IS A CIP OF 08/751,888 11/18/96 ABN ✓
WHICH IS A CIP OF 08/376,701 01/23/95 PAT 5,795,587

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 09/08/99 ** SMALL ENTITY **
TITLE
STABLE LIPID-COMPRISING DRUG DELIVERY COMPLEXES AND METHODS FOR THEIR
PRODUCTION

PRELIMINARY CLASS: 435

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DATA ENTRY BY: SASFAI, DAVID J.

TEAM: 03 DATE: 11/23/99

(See reverse for new important information)

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (12/97) (modified)
Approved for use through 09/30/00. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

226272002201

Total Pages

91

Inventors

Leaf Huang, Xiang Gao, Frank L. Sorgi, Ralph W. Paul, David L. Sloane, Aaron G. Loomis

Express Mail Label No.

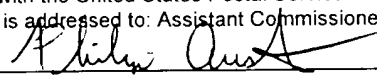
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Date of Deposit: 8/18/99, 1999

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Philip Austin

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
2. ☒ Specification [Total Pages 62]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 27]
4. ☐ Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63(d)
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - c. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in
the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the
oath or declaration is supplied under Box 4b, is considered as being
part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity Statement(s) ☒ Statement filed in prior application,
Status still proper and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 08/939,874

18. CORRESPONDENCE ADDRESS

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